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PTO/SB/21 (05-03)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/760,068
		Filing Date	January 12, 2001
		First Named Inventor	Christopher S. HELGESON
		Art Unit	2171
		Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	5 w/ 8 Refs.	Attorney Docket Number	360322000100

### ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	1. One copy each of 8 cited references
<input checked="" type="checkbox"/> Information Disclosure Statement w/ Form PTO 1449 (4 pages)	<input type="checkbox"/> CD, Number of CD(s)	2. Return Request Postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

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### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	MORRISON & FOERSTER LLP Stephen C. Durant - Reg. No. 31,506
Signature	
Date	November 5, 2003

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown.

Dated: November 5, 2003

Signature:

(Leah M. Kjellen)



PATENT  
Docket No. 360322000100

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Leah M. Kjellén

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Christopher S. HELGESON, et al.

Serial No.: 09/760,068

Filing Date: January 12, 2001

For: METHOD AND APPARATUS FOR A  
BUSINESS APPLICATIONS SERVER  
MANAGEMENT SYSTEM PLATFORM

Examiner: Not Yet Assigned

Group Art Unit: 2171

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**SECOND SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

The documents listed on the attached Form PTO-1449 were cited in a Search Report of October 21, 2003 (copy attached), directed to a counterpart international or foreign application.

This Information Disclosure Statement is submitted:

- Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - A fee is required.
  - A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicants petition for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing **360322000100**. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: November 5, 2003

Respectfully submitted,

By: 

Stephen C. Durant  
Registration No. 31,506

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Form PTO-1449

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INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION  
(Use several sheets if necessary)

Docket Number 360322000100	Application Number 09/760,068
Applicants	Christopher S. HELGESON, et al.
Filing Date January 12, 2001	Group Art Unit 2171
Mailing Date November 5, 2003	

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
1.	9/16/1999	WO 99/46662	PCT				

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
2.		International Search Report mailed on 10/21/2003, for PCT patent application no. PCT/US01/00982 filed on 1/12/2001, 8 pgs.
3.		M. Buffa et al., "Smart Interface-to-Device Architecture for HMI", IEEE 10/12/1999, ISBN: 0-7803-5731-0, pp. 1063-1068.
4.		V. Jagannathan et al., "Workshop Report on Integrating XML & Distributed Object Technologies", XML & DOT report, IEEE 10/12/1999, ISBN: 0-7695-0365-9, pp. 291-296.
5.		"Multi-modal Data Access", research disclosure, Kenneth Mason Publications, GB, no. 426, 10/1999, ISSN: 0374-4353, pp. 1393-1396.
6.		Gopalan Suresh Raj, "Enterprise JavaBeans-Part 1", retrieved from Internet: <a href="http://members.trpod.com/">http://members.trpod.com/</a> , 9/8/2003, 32 pgs.
7.		G. Smith et al., "A Case for Meta-Interworking: Projecting COBRA Meta-data into COM", IEEE Comp. Soc. US, 11/23/1998, pp. 242-253.
8.		J. Sutherland, "The Emergence of a Business Object Component Architecture", IEEE Comp. Soc. US, 6/16/1999, pp. 330-340.

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EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.